

Chapter DFI-Sec 9

FORMS

DFI-Sec 9.01 Forms.

Note: Renumbered from SEC 8, Register, December, 1977. Chapter SEC 9 was renumbered chapter DFI-Sec 9 under s. 13.93 (2m) (b) 1., Stats., and corrections made under s. 13.93 (2m) (b) 6. and 7., Stats., Register, December, 1996, No. 492.

DFI-Sec 9.01 Forms. (1) The following forms are prescribed for use under ch. 551, Stats., and may be obtained from the division of securities, Madison, Wisconsin:

- (a) Securities registration application and reporting forms:
 1. U-1. Uniform application to register securities.
 2. U-2. Uniform consent to service of process.
 3. U-7. Small corporate offering registration form.
- (b) Licensing application, notice filing, and reporting forms:
 1. BD. Uniform application for registration, license, or membership as a broker-dealer or to amend such application.
 2. U-4. Uniform application for securities industry registration.
 3. BDR (WI). Application for renewal of broker-dealer and agent license.
 4. U-5. Uniform termination notice for securities industry representative and/or agent.
 5. ASIM (WI). Application for agent license to simultaneously represent more than one broker-dealer or issuer.
 6. BDAA. Broker-dealer application activities questionnaire.
 7. BDBrO (WI). Broker-dealer Wisconsin branch office designated location renewal.
 8. AIR. Application for renewal of an agent for issuer license.
 9. ADV. Uniform application for investment adviser license, and the form that shall be used by a federal covered adviser making an initial or renewal filing under s. 551.32 (1m) (a) or (b), Stats..
 10. IAR (WI). Application for renewal of investment adviser and investment adviser representative license.
 11. IAAA. Investment adviser applicant activities questionnaire.

12. IADS. Designation of investment adviser supervisor.

13. IAUSR (WI). Acknowledgment of understanding of supervisory responsibilities of investment adviser under Wisconsin statutes and administrative code.

14. IAFC (WI). Financial certification by investment adviser that it will comply with the net capital requirement at all times.

15. ADV-W. Application for withdrawal of investment adviser license.

(c) SOI Solicitation of interest form.

(d) NF. Uniform investment company notice filing.

(e) AI. Model accredited investor exemption uniform notice of transaction.

(2) Any other application, form or notice under ch. 551, Stats., shall include the information specified in the applicable statutory section or rule, and may be filed with the division in the form of a letter or memorandum.

Note: The address for the division of securities is 345 W. Washington Avenue, Madison, WI 53703. The telephone number for the division is 608-261-9555. The internet address is www.wdfr.org.

History: Cr. Register, December, 1969, No. 168, eff. 1-1-70; r. and recr. Register, August, 1972, No. 200, eff. 9-1-72; renum. from SEC 8 and am. Register, December, 1977, No. 264, eff. 1-1-78; r. and recr. (1). Register, December, 1979, No. 288, eff. 1-1-80; am. (1) (b) 2., renum. (1) (b) 6. through 12. to be 7. through 13., cr. (1) (b) 6., Register, December, 1981, No. 312, eff. 1-1-82; r. (1) (a) 3., renum. (1) (a) 4. and 5. to be (1) (a) 3. and 4., Register, December, 1983, No. 336, eff. 1-1-84; cr. (1) (b) 14., Register, December, 1985, No. 360, eff. 1-1-86; cr. (1) (b) 15. and 16., Register, December, 1986, No. 372, eff. 1-1-87; renum. (1) (b) 6. to 16. to be 7. to 17., cr. (1) (b) 6., Register, December, 1988, No. 396, eff. 1-1-89; cr. (1) (a) 5., Register, December, 1989, No. 408, eff. 1-1-90; r. and recr. (1) (b) 8., r. (1) (b) 14., renum. (1) (b) 15. to 17. to be 14. to 16., Register, December, 1990, No. 420, eff. 1-1-91; r. (1) (b) 9., 12., 13., 15., 16., renum. (1) (b) 7., 8., 10., 11. and 14. to be 11. to 14. and 10. and am. 10., cr. (1) (b) 7. to 9., 15. to 17., Register, December, 1994, No. 468, eff. 1-1-95; am. (1) (a) 8., cr. (1) (a) 18. and 19. and (c), Register, December, 1995, No. 480, eff. 1-1-96; r. (1) (a) 4., renum. (1) (a) 5. to be (1) (a) 4., Register, December, 1996, No. 492, eff. 1-1-97; correction in (1) (intro.) and (2) made under s. 13.93 (2m) (b) 6., Stats., Register, April, 1998, No. 508; am. (1) (b) (intro.), 12. and 13., cr. (1) (b) 20. and (d), Register, December, 1998, No. 516, eff. 1-1-99; r. (1) (a) 3. (b) 4., 14. and 16., renum. (1) (a) 4., (b) 5. to 13., 15. and 17. to 20. to be (1) (a) 3. and (b) 4. to 17., Register, December, 1999, No. 528, eff. 1-1-00; CR 01-083: cr. (1) (e), Register December 2001 No. 552, eff. 1-1-02; **CR 02-102: r. (1) (b) 7. and 8., renum. (1) (b) 9. to 17. to be (1) (b) 7. to 15., Register December 2002 No. 564, eff. 1-1-03.**